



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application

Inventor(s): Charles E. Taylor and Shek Fai Lau

SC/Serial No.: 10/023,197

Confirm. No.: 3618

Filed: December 13, 2001

Title: ELECTRO-KINETIC AIR TRANSPORTER-
CONDITIONER DEVICE WITH ENHANCED
CLEANING FEATURES

PATENT APPLICATION

COPY OF PAPERS
ORIGINALLY FILED

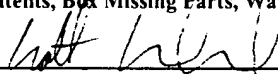
Art Unit: 1741

Examiner: Unassigned

Customer No. 23910

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited in the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, Box Missing Parts, Washington, DC 20231, on March 12, 2002.



Scott D. Sanford, Reg. No. 51,170

(Attorney Signature)

Signature Date: March 12, 2002

RESPONSE TO NOTICE TO FILE MISSING PARTS

Commissioner for Patents
Box Missing Parts
Washington, DC 20231

Sir:

In response to the Notice to File Missing Parts of Application -- Filing Date Granted, dated February 25, 2002, enclosed are the following documents in connection with the above-identified application:

- ☒ Copy of Notice to File Missing Parts -- Filing Date Granted
- ☒ Second Preliminary Amendment
- ☒ Request for Correction of Filing Receipt
- ☒ Return Receipt Postcard

Patent Application Filing Fee

The patent application filing fee (if applicable) is calculated as shown below:

| No. Filed | No. Extra | Rate Small Entity/ Large Entity | |
|---|--------------|---------------------------------------|-------------------|
| Basic Fee | | \$370.00 \$740.00 | = \$740.00 |
| Total Claims <u>94</u> ** - 20 = <u>74</u> * | X | \$ 9.00 \$ 18.00 | = \$1,332.00 |
| Independent Claims <u>6</u> ** - 3 = <u>3</u> * | X | \$ 42.00 \$ 84.00 | = \$252.00 |
| First Presentation of Multiple Dependent Claim(s) <u>0</u> | | \$140.00 \$280.00 | = \$0.00 |
| Total PATENT APPLICATION FILING FEE: | | | <u>\$2,324.00</u> |

* If the difference is less than zero, enter "0".

** Count claims after any amendment.

Total Fee

The Total Fee associated with this communication has been calculated as shown below:

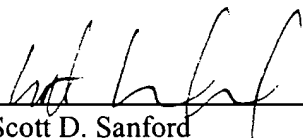
| | | |
|-------------------------------------|---|-------------------|
| <input checked="" type="checkbox"/> | Patent application filing fee | \$2,324.00 |
| <input type="checkbox"/> | Net fee for extension of time | \$0.00 |
| <input type="checkbox"/> | Assignment recording fee (\$40.00) | \$0.00 |
| <input checked="" type="checkbox"/> | Surcharge under 37 C.F.R. §1.16(e) for late filing of filing fee or Declaration: | |
| <input checked="" type="checkbox"/> | Large Entity \$130.00 | \$130.00 |
| <input type="checkbox"/> | Small Entity \$ 65.00 | \$0.00 |
| TOTAL FEE DUE: | | <u>\$2,454.00</u> |

Method of Payment of Fees

- ☒ A check in the amount of the TOTAL FEE DUE is enclosed.
- ☒ The Commissioner is hereby authorized to charge underpayment of any additional fees associated with this communication or credit any overpayment to Deposit Account No. 06-1325. A duplicate copy of this authorization is enclosed.

Respectfully submitted,

Date: March 12, 2002

By: 
Scott D. Sanford
Reg. No. P51,170

FLIESLER DUBB MEYER & LOVEJOY LLP
Four Embarcadero Center, Fourth Floor
San Francisco, California 94111-4156
Telephone: (415) 362-3800
Facsimile: (415) 362-2928
ssanford@fdml.com



COPY OF PAPERS
ORIGINALLY FILED

Receipt

4
\$

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application

Inventors: Charles E. Taylor and Shek Fai Lau
Appl. No.: 10/023,197
Confirm. No.: 3618
Filed: December 13, 2001
Title: ELECTRO-KINETIC AIR TRANSPORTER-
CONDITIONER DEVICE WITH
ENHANCED CLEANING FEATURES

PATENT APPLICATION

Art Unit: 1741
Examiner: Unassigned

Customer No. 23910

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence is being deposited in the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, Box Missing Parts, Washington, DC 20231, on March 12, 2002.

(Attorney Signature)

Scott D. Sanford, Reg. No. 51,170

Signature Date: March 12, 2002

REQUEST FOR CORRECTION OF FILING RECEIPT

Commissioner for Patents
Box Missing Parts
Washington, DC 20231

Sir:

In the Filing Receipt received by Applicants in the above-identified patent application, the U.S. Patent and Trademark Office erroneously omitted the Attorney Docket No..

Under Attorney Docket No.:

Please add:

SHPR-01041USI SRM/SDS

Further, please change the title as follows:

Under Title:

Please correct from:

ELECTRO-KINETIC AIR TRANSPORTER-CONDITIONER

to:

ELECTRO-KINETIC AIR TRANSPORTER-CONDITIONER WITH ENHANCED
CLEANING FEATURES (emphasis added)

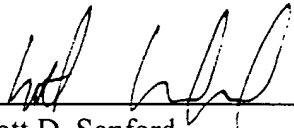
In support of this request, attached are copies of the Continuation Application Transmittal Letter and Second Preliminary Amendment. A copy of the Filing Receipt is also attached, with the correction marked thereon.

Please make the indicated corrections and forward to us a corrected filing receipt.

There is no fee due with this communication. However, the Commissioner is hereby authorized to charge underpayment of any additional fees associated with this communication or credit any overpayment to Deposit Account No. 06-1325. A duplicate copy of this authorization is enclosed.

Respectfully submitted,

Date: March 12, 2002

By: 
Scott D. Sanford
Reg. No. 51,170

FLIESLER DUBB MEYER & LOVEJOY LLP
Four Embarcadero Center, Fourth Floor
San Francisco, California 94111-4156
Telephone: (415) 362-3800
Facsimile: (415) 362-2928
ssanford@fdml.com



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY.DOCKET.NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|--------------|--------------|---------------|----------------|----------|------------|------------|
| 10/023.197 ✓ | 12/13/2001 ✓ | 1741 | 0.00 | SHPR- | 12 | 94 ✓ | 6 ✓ |

HPR-
01041USI
SRM/SDS

CONFIRMATION NO. 3618 ✓

Sheldon R. Meyer
FLIESLER DUBB MEYER & LOVEJOY LLP
Fourth Floor
Four Embarcadero Center
San Francisco, CA 94111-4156

RECEIVED

MAR 01 2002

FLIESLER DUBB,
MEYER & LOVEJOY

FILING RECEIPT



OC000000007529796

Date Mailed: 02/25/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

Charles E. Taylor, Sebastopol, CA;
Shek Fai Lau, Foster City, CA;

Sharper Image Corporation;

THIS APPLN CLAIMS BENEFIT OF 60/306,479 07/18/2001 ✓✓
AND A CON OF 09/730,499 12/05/2000 ✓
WHICH IS A CON OF 09/186,471 11/05/1998 PAT 6,176,977 ✓

If Required, Foreign Filing License Granted 02/25/2002 ✓

Projected Publication Date: To Be Determined - pending completion of Missing Parts ✓

Non-Publication Request: No ✓✓

Early Publication Request: No ☒

Title

File: SHPR - 01041 NSI
 Action Item: Action #1?
 Date Due: February 13, 2003
 Critical Date: February 13, 2003
 Attorney Path: ERN/SOS
 Docketed By: [Signature]
 Verified By: [Signature]

Electro-Kinetic Air Transporter-Conditioner Device
Electro-kinetic air transporter-conditioner / With Enhanced Cleaning Features

Preliminary Class

204

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



**COPY OF PAPERS
ORIGINALLY FILED**

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
|--------------------|---------------------|-----------------------|------------------------|

10/23,197

12/13/2001

Charles E. Taylor

RECEIVED

CONFIRMATION NO. 3618

MAR 01 2002

FORMALITIES LETTER



OC000000007529797

Sheldon R. Meyer
FLIESLER DUBB MEYER & LOVEJOY LLP
Fourth Floor
Four Embarcadero Center
San Francisco, CA 94111-4156

FLIESLER L.
MEYER & LOVEJOY

Date Mailed: 02/25/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

03/29/2002 BARRAHAM 00000043 10023197

FILED UNDER 37 CFR 1.53(b)

| | |
|-----------|------------|
| 01 FD:101 | 740.00 BP |
| 02 FD:101 | 100.00 BP |
| 03 FD:103 | 1552.00 BP |
| 04 FD:102 | 152.00 BP |

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$1584.
 - \$1332 for 74 total claims over 20.
 - \$252 for 3 independent claims over 3.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 2454.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application

PATENT APPLICATION

Inventor(s): Charles E. Taylor, Shek Fai Lau

**COPY OF PAPERS
ORIGINALLY FILED**

SC/Serial No.: Unknown

Filed: Herewith

Title: ELECTRO-KINETIC AIR TRANSPORTER-
CONDITIONER DEVICE WITH
ENHANCED CLEANING FEATURES

Customer No. 23910

CERTIFICATE OF MAILING BY "EXPRESS MAIL" UNDER 37 C.F.R. §1.10

"Express Mail" mailing label number: EL 661 694 656 US

Date of Mailing: December 13, 2001

EL661694656US

I hereby certify that this correspondence is being deposited with the United States Postal Service, utilizing the "Express Mail Post Office to Addressee" service addressed to **Commissioner for Patents, Washington, DC 20231** and mailed on the above Date of Mailing with the above "Express Mail" mailing label number.

Matthew A. Mahling (Signature)

Matthew A. Mahling

Signature Date: December 13, 2001

CONTINUATION APPLICATION TRANSMITTAL LETTER
UNDER 37 C.F.R. §1.53(b)(1)

Commissioner for Patents
Washington, DC 20231

Dear Sir:

Transmitted herewith for filing as a ✓ continuation divisional application under the continuing application procedure of 37 C.F.R. §1.53(b)(1) is a patent application identified as follows:

Title: ELECTRO-KINETIC AIR TRANSPORTER-CONDITIONER DEVICE
WITH ENHANCED CLEANING FEATURES

Inventor(s): Charles E. Taylor
Shek Fai Lau

No. of Pages in Specification: 32, No. of Claims: 118.

No. of Sheets of Drawings: 12; Formal: ☒ or Informal: ☐.

Identification of Prior Complete Application

SC/Serial No.: 09/730,499

Art Unit:

Filed: December 5, 2000

Examiner:

Title: ELECTRO-KINETIC AIR TRANSPORTER

Inventor(s): Charles E. Taylor, Shek Fai Lau

Delete the Following Inventor(s) for This Application: (none)

Declaration

☒

A copy of the Declaration (signed by all inventors) from the Prior Complete Application is submitted herewith.

Amendments

Please CANCEL in this application original claims _____ of the prior complete application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.) However, if this instruction results in cancellation of all original claims, please instead retain the lowest numbered original claim.

☒ _____

Please AMEND the specification by inserting before the first line of the application: "This application claims priority from provisional application Serial No. 60/306,479, filed July 18, 2001. This application is a continuation of U.S. Patent Application No. 09/730,499, filed December 5, 2000, which is a continuation of U.S. Patent Application No. 09/186,471, filed November 5, 1998, now U.S. Patent No. 6,176,977."

☒ _____

A preliminary amendment is enclosed. Please enter the preliminary amendment before calculating the application filing fee. (Claims added must be consecutively numbered beginning with next number after highest number in prior complete application.)

Petition for Extension of Time to Respond

No extension of time is required for the prior complete application.

Pursuant to 37 C.F.R. §1.136(a), enclosed is a petition for an extension of time for the prior complete application, up to and including today, for responding to the Office action together with the fee set by 37 C.F.R. §1.17.

Power of Attorney

☒ A power of attorney appears in the prior complete application.

☐ A new power of attorney is submitted herewith.

Assignment

☒ The prior application is assigned of record to:
Sharper Image Corporation

☐ An assignment of the invention to: _____ is submitted herewith, together with an
ASSIGNMENT RECORDATION FORM COVER SHEET and recordal fee of
\$40.00.

Claim of Priority

☐ Priority of foreign application Serial No. _____, filed on _____, in _____ is
claimed under 35 U.S.C. §1.119.

☐ The certified copy was filed in prior U.S. application Serial No. _____, filed _____.

Small Entity Statement

☐ Statement(s) claiming small entity status is (are) submitted herewith.

☐ Statement(s) claiming small entity status was (were) filed in the parent application
Serial No. _____, on _____ and its benefit under 37 C.F.R. §1.28(a) is
hereby claimed.

Also Enclosed Are:

☐ An Information Disclosure Statement under 37 C.F.R. §1.56.

Filing Fee

The continuation/divisional patent application filing fee is calculated as shown below:

| No. Filed | No. Extra | Rate Small Entity/ Other Than Small Entity | | |
|--|---------------|---|---|---------------|
| Basic Fee | | \$370.00 \$740.00 | = | \$0.00 |
| Total Claims <u>118</u> - 20 | = <u>98</u> * | \$ 9.00 \$ 18.00 | = | \$0.00 |
| Independent Claims <u>6</u> - 3 | = <u>3</u> * | \$ 42.00 \$ 84.00 | = | \$0.00 |
| First Presentation of Multiple Dependent Claim(s) _____ | | \$140.00 \$280.00 | = | \$ |
| Total PATENT APPLICATION FILING FEE: | | | | <u>\$0.00</u> |

* If the difference is less than zero, enter "0".

** Count claims after any amendment.

Method of Payment of Fees

The total fee associated with this communication is calculated as follows:

| | |
|--|----|
| Patent application filing fee | \$ |
| Net fee for extension of time (See attached petition) | \$ |
| Assignment recordal fee (See attached cover sheet) | \$ |
| TOTAL FEE DUE: | \$ |

— No check is enclosed.

— The Commissioner is hereby authorized to charge underpayment of any additional fees associated with this communication or credit any overpayment to Deposit Account No. 06-1325. A **duplicate** copy of this CONTINUATION OR DIVISIONAL APPLICATION TRANSMITTAL LETTER UNDER 37 C.F.R. §1.53(b)(1) form is enclosed.

Correspondence Address

All correspondence should be addressed as follows:

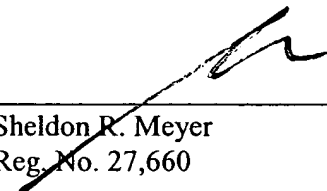
Sheldon R. Meyer
FLIESLER DUBB MEYER & LOVEJOY LLP
Four Embarcadero Center, Fourth Floor
San Francisco, California 94111-4156
Telephone (415) 362-3800

Direct all telephone calls to the undersigned attorney at (415) 362-3800.

Respectfully submitted,

Date: December 13, 2001

By: _____


Sheldon R. Meyer
Reg. No. 27,660

FLIESLER DUBB MEYER & LOVEJOY LLP
Four Embarcadero Center, Suite 400
San Francisco, California 94111-4156
(415) 362-3800